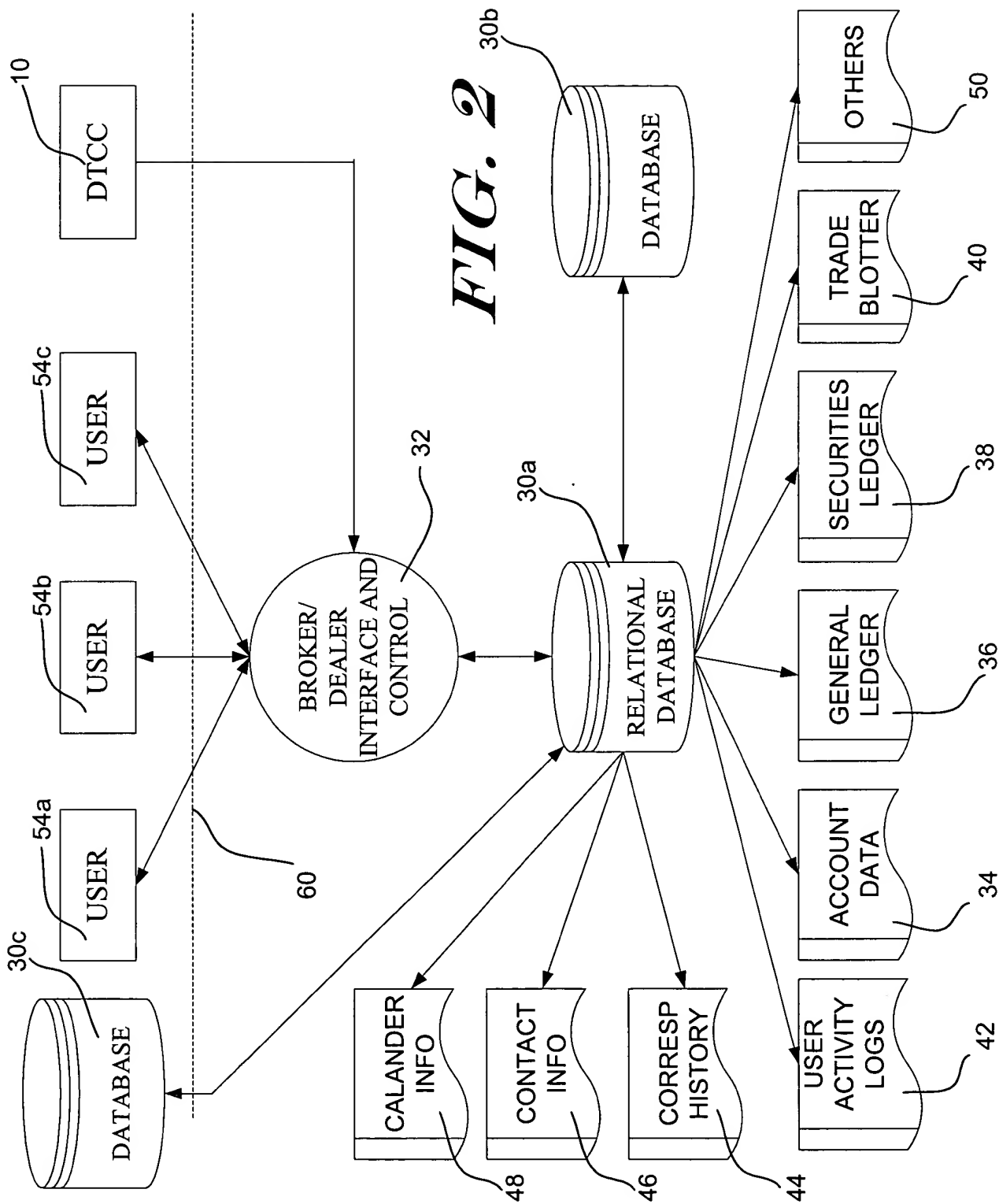
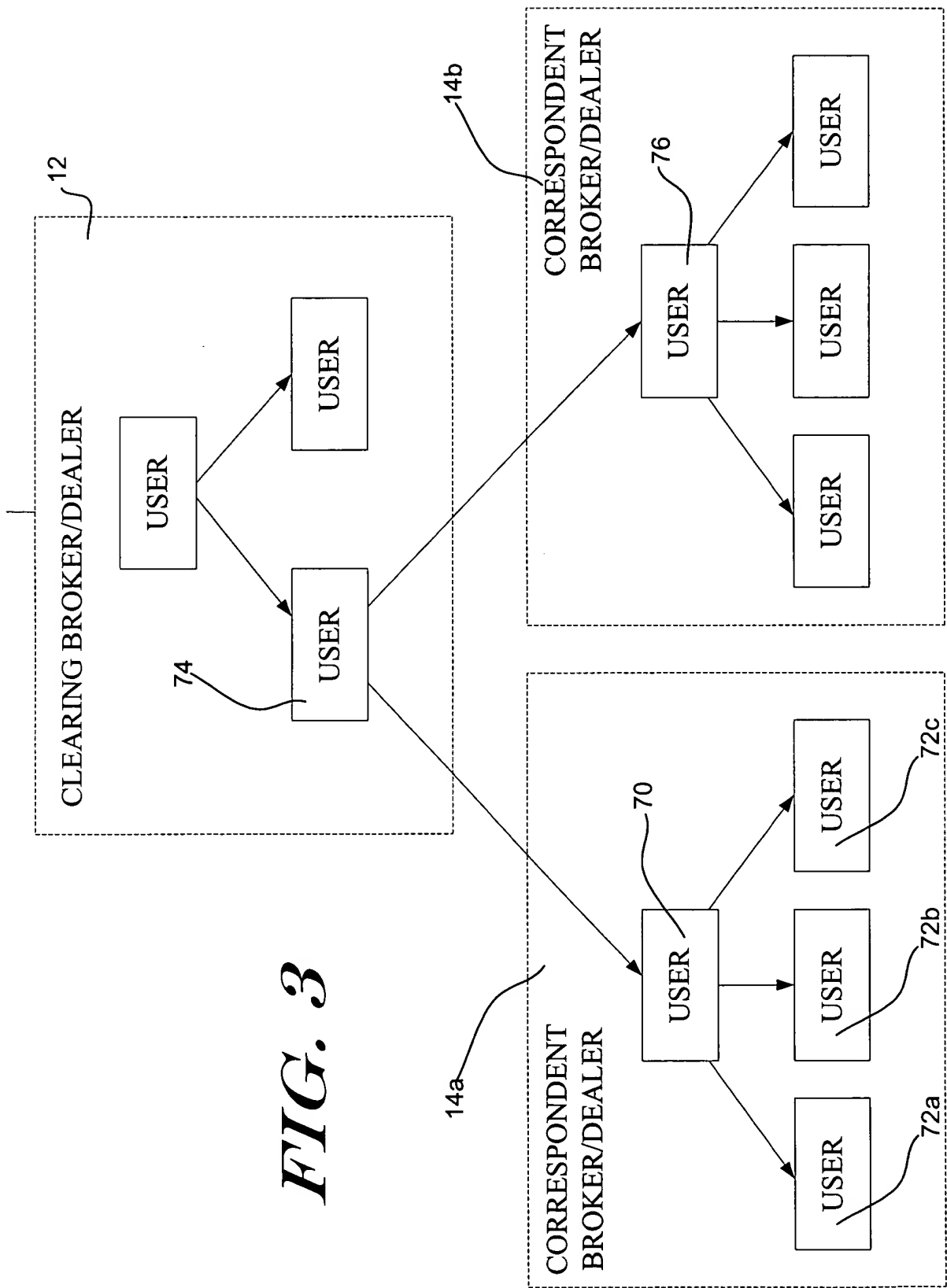


FIG. 1





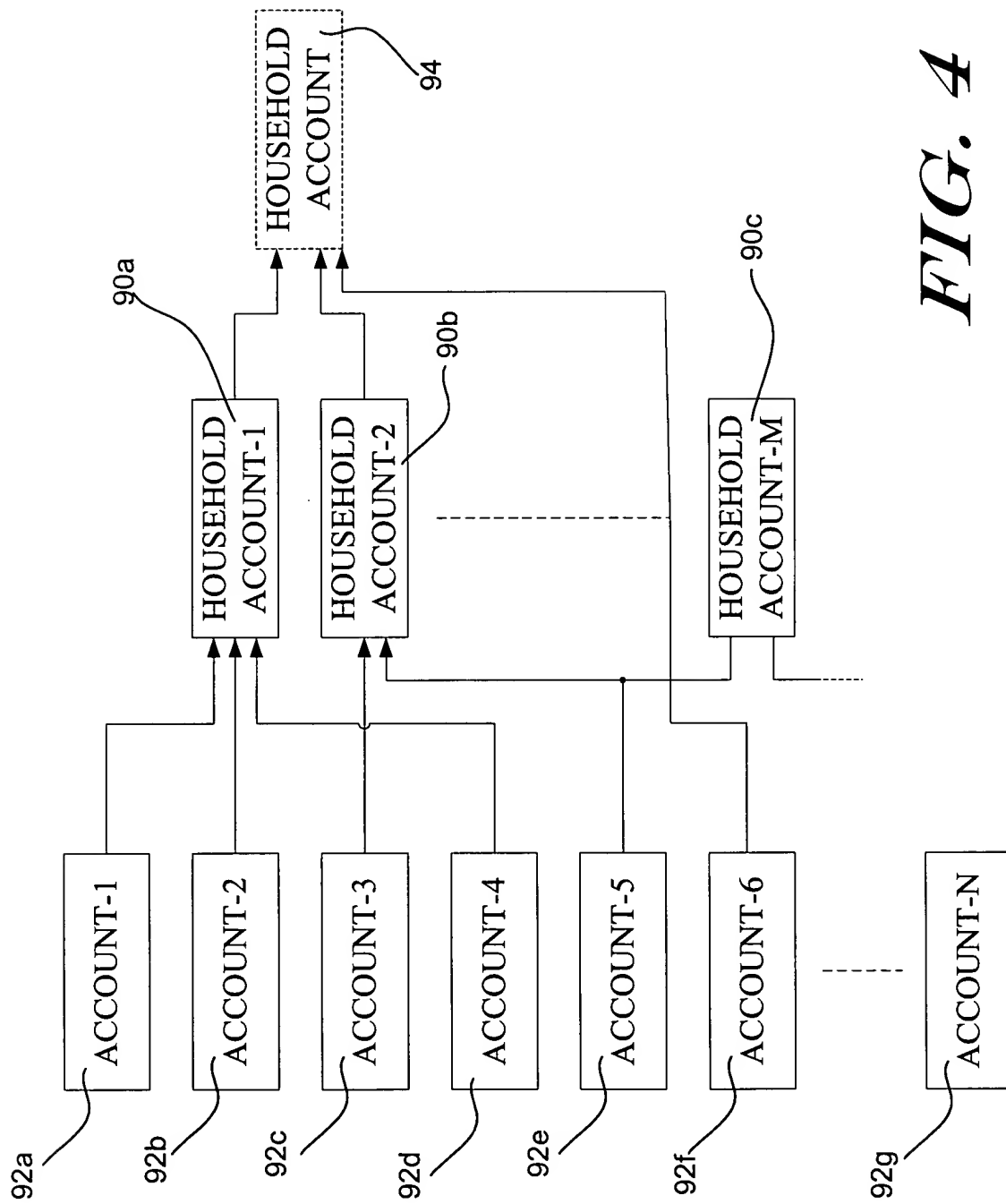


FIG. 4

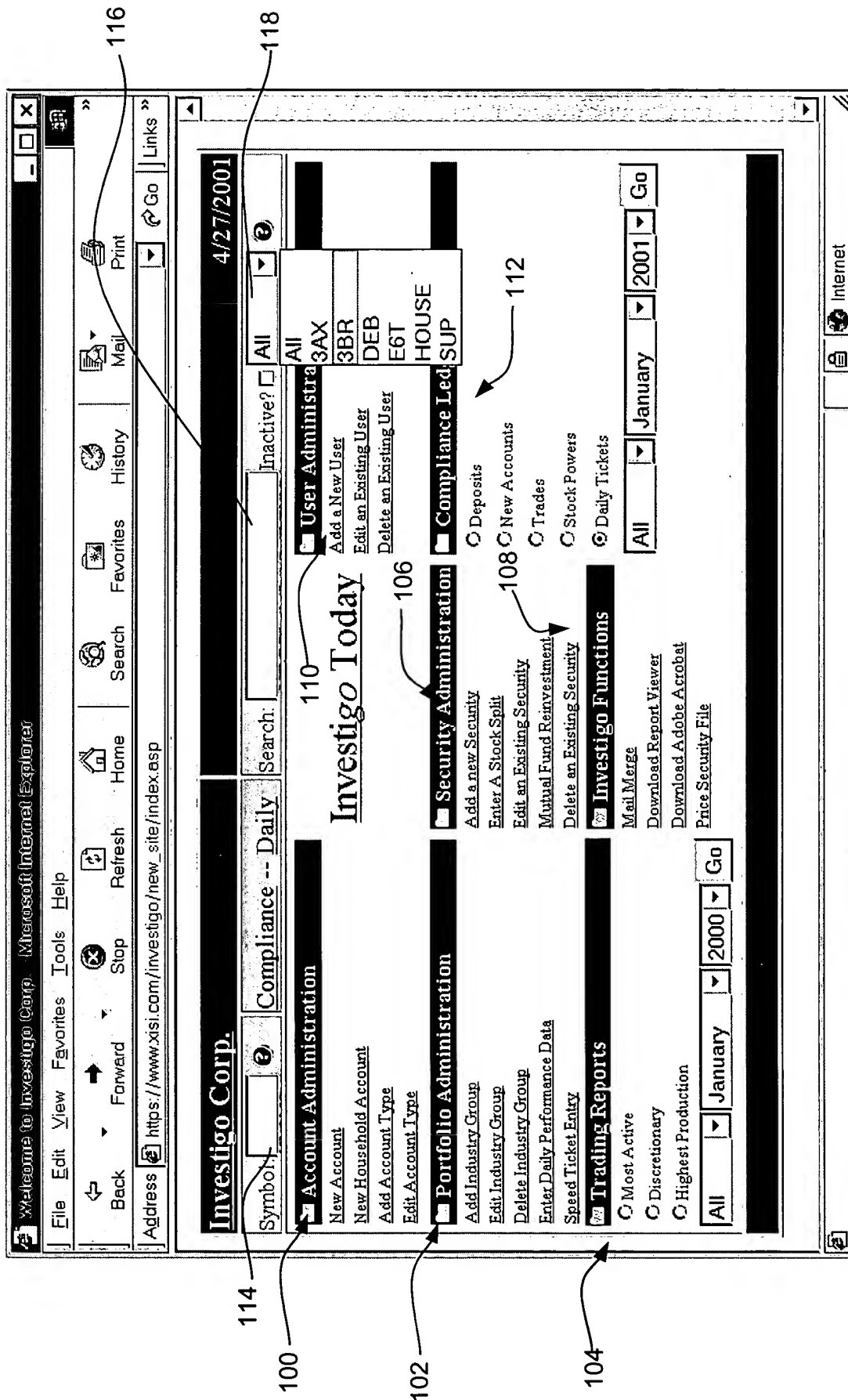


FIG. 5

FIGURE 6-22

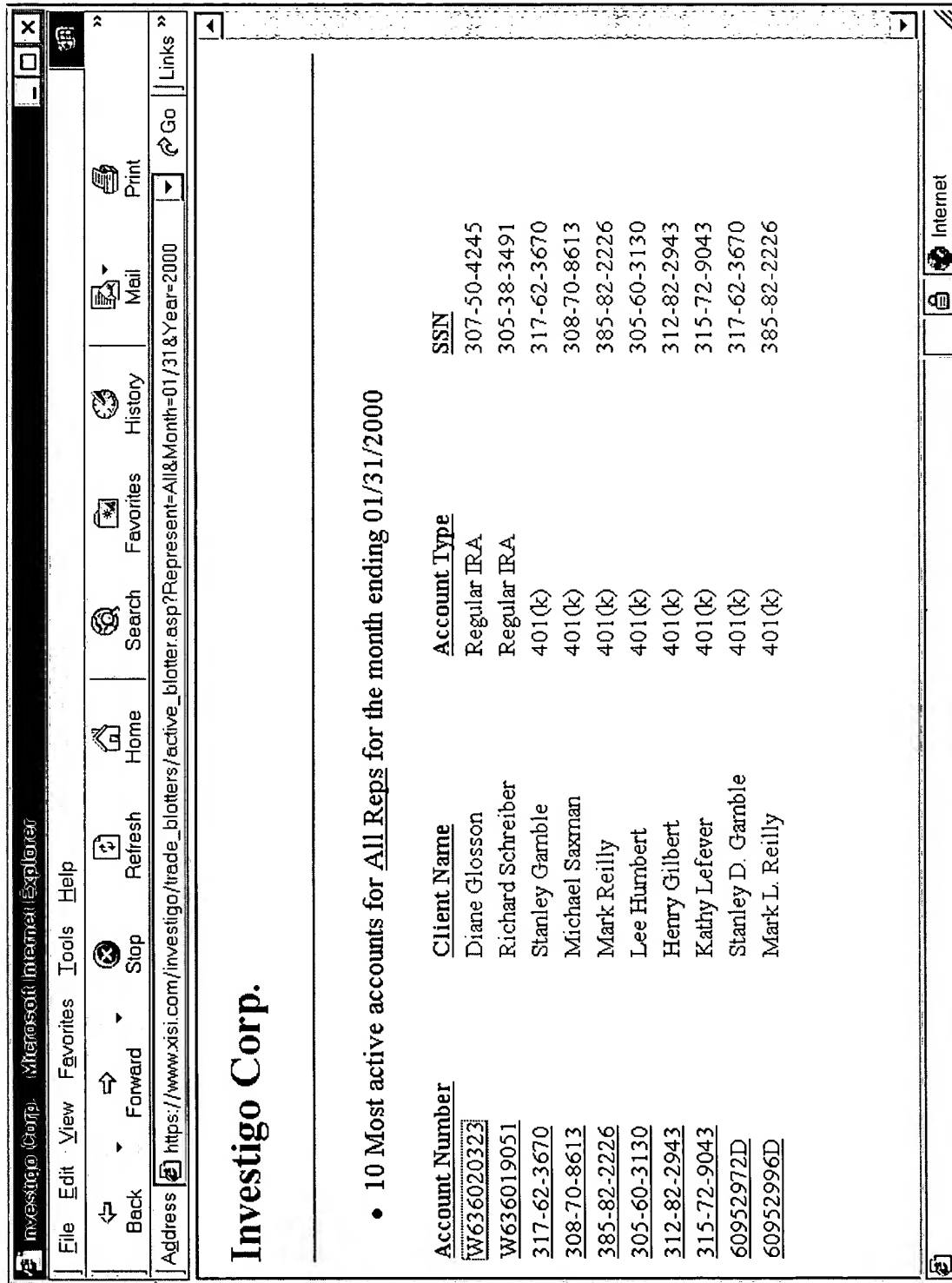


FIG. 6

Investigative Corp. Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back
Forward
Stop
Refresh
Home
Search
Favorites
History
Mail

Address
https://www.xisi.com/investigo/trade_blotters/active_blotter.asp?Represent=3BR&Month=10/31&Year=2000
Go
Links

Investigo Corp.

- 10 Most active accounts for Rep 3BR for the month ending 10/31/2000

Account Number	Client Name	Account Type	SSN
<u>W636080590</u>	David A. Story	Regular IRA	303-52-5412
<u>FERG6</u>	Scott Fergusson	401(k)	304-96-1037
<u>W632319364</u>	Jeffrey L. Hinen	JTWROS	308-82-8501
<u>W632014437</u>	Mr. James E. Lauritsen	DVP	43-0497480
<u>60688910</u>	Carolyn E. Hein	403(b)	307-46-5353
<u>64747090</u>	Chelsey J. Coughlin	UGMA	313-13-3668
<u>64747091</u>	Bray J. Coughlin	UGMA	310-19-2016
<u>FER5</u>	Scott Fergusson	Regular IRA	304-96-1037
<u>W632297842</u>	Keith Edwards	JTWROS	315-52-2906
<u>W636019770</u>	Kim A. Lefever	Regular IRA	316-64-4482

Done
Internet

FIG. 7

100260 "02121660

Investigo Corp. Check Deposit ledger - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address <https://www.xisi.com/investigo/deposits/ledger.asp?LedgerType=Month&Rep=All&Month=10/31&Year> Go Links

Investigo Corp.

- Check Deposit ledger for All for the Month ending 10/31/2000.

Date Received	Account Number	Account Name	Amount	Deposit Date	Payable To	Represent
10/1/2000	C017254-0D	Keith D. Class	-900	10/1/2000	Keith D. Class	3AX
10/2/2000	64923193	Shawn D. Ferro	150	10/2/2000	fund	3BR
10/2/2000	W636019127	Shirley Clem	-540	10/2/2000	Shirley Clem	3AX
10/2/2000	W636019127	Shirley Clem	-60	10/2/2000	Shirley Clem	3AX
10/2/2000	65099328	MaryJo LaVine	510	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65018634	Kelly M. LaVine	-10	10/2/2000	Kelly M. LaVine	3AX
10/2/2000	64955885	Patricia A. Vilches	-10	10/2/2000	Patricia A. Vilches	3AX
10/2/2000	64955885	Patricia A. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65131336	Mariano R. Vilches	-10	10/2/2000	Mariano R. Vilches	3AX
10/2/2000	65131336	Mariano R. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	W636019234	Coryll Miller	-500	10/2/2000	Coryll Miller	3AX
10/2/2000	W636019085	Ross Leakey	-520	10/2/2000	Ross Leakey	3AX
10/2/2000	64924065	Elizabeth E. Neuok	-300	10/2/2000	Elizabeth E. Neuok	3BR
10/2/2000	64923194	Heather A. Ferro	125	10/2/2000	fund	3BR
10/2/2000	W636019697	Gloria Weiler	-100	10/2/2000	Gloria Weiler	3AX
10/2/2000	W636020505	Dean Mansdorfer	-850	10/2/2000	Dean Mansdorfer	3AX
10/2/2000	W636020513	Nyla Mansdorfer	-350	10/2/2000	Nyla Mansdorfer	3AX
10/2/2000	W636020562	Frank Erwin	-600	10/2/2000	Frank Erwin	3AX
10/2/2000	W636058851	David B. Sensenich	-400	10/2/2000	David B. Sensenich	3AX
10/2/2000	W636081952	Gary S. Hall	-350	10/2/2000	Gary S. Hall	3AX
10/2/2000	W638026435	Dorothy M. Neuenschwander	-1500	10/2/2000	Dorothy M. Neuenschwander	3AX
10/2/2000	W638030924	Alfred E. Boyer	-223.7	10/2/2000	Alfred E. Boyer	3AX
10/2/2000	W636019622	Sophie Leakey	-200	10/2/2000	Sophie Leakey	3AX
10/2/2000	64831677	Doloris McCormick	-200	10/2/2000	Doloris McCormick	3AX
10/2/2000	W632293528	Ellen Jackson	-5000	10/2/2000	Ellen Jackson	3AX
9/30/2000	W632628913	William A. Oliver	1000.00	10/2/2000	Schroder & Co.	E6T
10/2/2000	W632669420	Robert W. Schnipke	200000	10/2/2000	Schroder & Co	3AX
10/2/2000	W632292801	Mazie Welbaum	-249.36	10/2/2000	Mazie Welbaum	3AX

Done Internet

FIG. 8

Investigo Corp Trade Blotter Ledger Microsoft Internet Explorer									
File Edit View Favorites Tools Help									
Back Forward Stop Refresh Home Search Favorites History Mail Print									
Address https://www.xsi.com/investigo/itrade_blotter_1.asp?Represent=All&Month=10/31&Year=2000 Go Links									
Investigo Corp.									
Trade Buy Blotter for All for dates 10/1/2000 to 10/31/2000									
Trade Date	Settle Date	Buy / Sell	Account Number	Product	Shares	S/UNS	Buy Price	Buy Cost	Buy Commission
10/1/2000	10/4/2000	Buy	W632293452	C017254-00	60327.84	Unsolicited	1	0	0
10/2/2000	10/5/2000	Buy	W632669420	JALAX	3603.604	Solicited	15.54	55000	0
10/2/2000	10/5/2000	Buy	W632669420	IDGSX	1689.708	Solicited	13.02	22000	0
10/2/2000	10/5/2000	Buy	W632669420	RCVAX	1756.44	Solicited	17.08	30000	0
10/2/2000	10/5/2000	Buy	W632667689	LEIFX	0.194	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632665626	RCVAX	51.317	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632658555	RCVBX	11.881	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632688893	RCVBX	7.324	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Solicited	0.4375	187.6	50
10/2/2000	10/5/2000	Buy	W632498077	LEIBX	0.135	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Solicited	88.5	6333.44	132.08
10/2/2000	10/5/2000	Buy	W632448502	RCVBX	16.242	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W636047672	RCVBX	47.063	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632367388	RCVBX	21.917	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632669420	OPPAX	485.784	Solicited	69.99	34000	0
10/2/2000	10/5/2000	Buy	W632356945	LEIFX	1.342	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632322475	RCVAX	40.796	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632312666	AHITX	3.706	Solicited	12.97	0	0
10/2/2000	10/5/2000	Buy	W632306858	NABGX	13.93	Solicited	15.04	0	0
10/2/2000	10/5/2000	Buy	W632297412	LEIBX	0.292	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297347	LEIBX	0.576	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297107	KO	0.62	Solicited	54.937	34.22	0
10/2/2000	10/5/2000	Buy	W632296523	FDBBX	17.202	Solicited	8.79	0	0
Done Internet									

FIG. 9

T00260"02T2F660

Investigo Corp. daily trade tickets
Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Forward Stop Refresh Home Search Favorites History Mail Print
Address https://www.xisi.com/investigo/daily/monthly_daily_orders.asp?Represent=All&Month=10/31&Year=2000 Go Links

Investigo Corp.

- Daily Trade Tickets for the Period 10/1/2000 to 10/31/2000 for All.

Trade Date	Settle Date	Buy/Sell	Account Number	Product	Shares	S/UNS	Type	Price	Report	Rep
10/2/2000	10/5/2000	Buy	W632669420	45168H105	2001.8200	Solicited	Cash - 01	market	10.99	3AX
10/2/2000	10/5/2000	Sell	W632319364	RHAT	500	Unsolicited	Cash - 01	mkt	17 1/16	3BR
10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Unsolicited	Cash - 01	88 1/2 gtc	88 1/2	3BR
10/2/2000	10/5/2000	Sell	W632319364	NOLZ	600	Unsolicited	Cash - 01	mkt	7 1/16	3BR
10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Unsolicited	Cash - 01	market	4375	3AX
10/2/2000	10/5/2000	Sell	W632319364	TRCR	800	Unsolicited	Cash - 01	3 11/16		3BR
10/2/2000	10/5/2000	Buy	W632669420	IALLX	3603.6040	Solicited	Cash - 01	market	15.54	3AX
10/2/2000	10/5/2000	Buy	W632669420	45168C437	1689.7080	Solicited	Cash - 01	market	13.02	3AX
10/2/2000	10/5/2000	Buy	W632669420	OIGAX	419.8150	Solicited	Cash - 01	0	23.82	3AX
10/2/2000	10/5/2000	Buy	W632669420	OPMSX	1635.2200	Unsolicited	Cash - 01	market	15.90	3AX
10/3/2000	10/6/2000	Buy	W636047672	ANWPPX	2471.6500	Solicited	Cash - 01	market	29.63	3AX
10/3/2000	10/6/2000	Buy	W636047672	AEFGX	1580.8760	Solicited	Cash - 01	market	39.48	3AX
10/3/2000	10/6/2000	Sell	W636047672	IVINX	1707.1350	Solicited	Cash - 01	market	36.68	3AX
10/3/2000	10/6/2000	Sell	W636047672	220714305	52745.70	Solicited	Cash - 01	1	1	3AX
10/3/2000	10/6/2000	Buy	W632669420	RCVAX	1756.4400	Solicited	Cash - 01	market	17.08	3AX
10/3/2000	10/6/2000	Buy	W632669420	OPPAX	483.7840	Solicited	Cash - 01	market	69.99	3AX
10/3/2000	10/6/2000	Sell	W636047672	NEFDX	4282.7230	Solicited	Cash - 01	market	17.10	3AX
10/3/2000	10/6/2000	Buy	W636020430	LU	100	Unsolicited	Cash - 01	30.25	GTC	3AX
10/3/2000	10/6/2000	Sell	W632295424	LEH	1000	Unsolicited	Cash - 01	160	GTC	3AX
10/4/2000	10/7/2000	Sell	W636070155	FKINX	7884.9490	Solicited	Cash - 01	market	2.31	3AX

Done Internet

FIG. 10

100260-02121660

Generate Mail Merge - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xisi.com/investigo/mail_merge/merge_beta.asp Go Links

Symbol: Go Compliance -- Daily Account Number or Name: Lookup

Mail Merge

Create a custom mail merge file by defining the characteristics of the accounts:

By Account Registration

Representative Account Type Report Frequency State of Residence

By Investment Objective

<input type="checkbox"/> LT Capital Appreciation	<u>Stocks</u>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Short Term Trading	<u>Bonds</u>	<input type="text" value="Don't Search"/>
<input checked="" type="checkbox"/> Business Man's Risk	<u>Options</u>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Income	<u>Futures</u>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Safety of Principal		
<input type="checkbox"/> Tax Exempt Income		

By Personal Interests

☒ Golf ☐ Tennis

By Holdings

<input checked="" type="checkbox"/> Owns Mutual Funds	<input type="checkbox"/> Owns Long Term Care Policies
<input type="checkbox"/> Owns Life Insurance	<input type="checkbox"/> Owns Variable Annuities

Symbol

Done Internet

150

152

154

156

158

FIG. 11

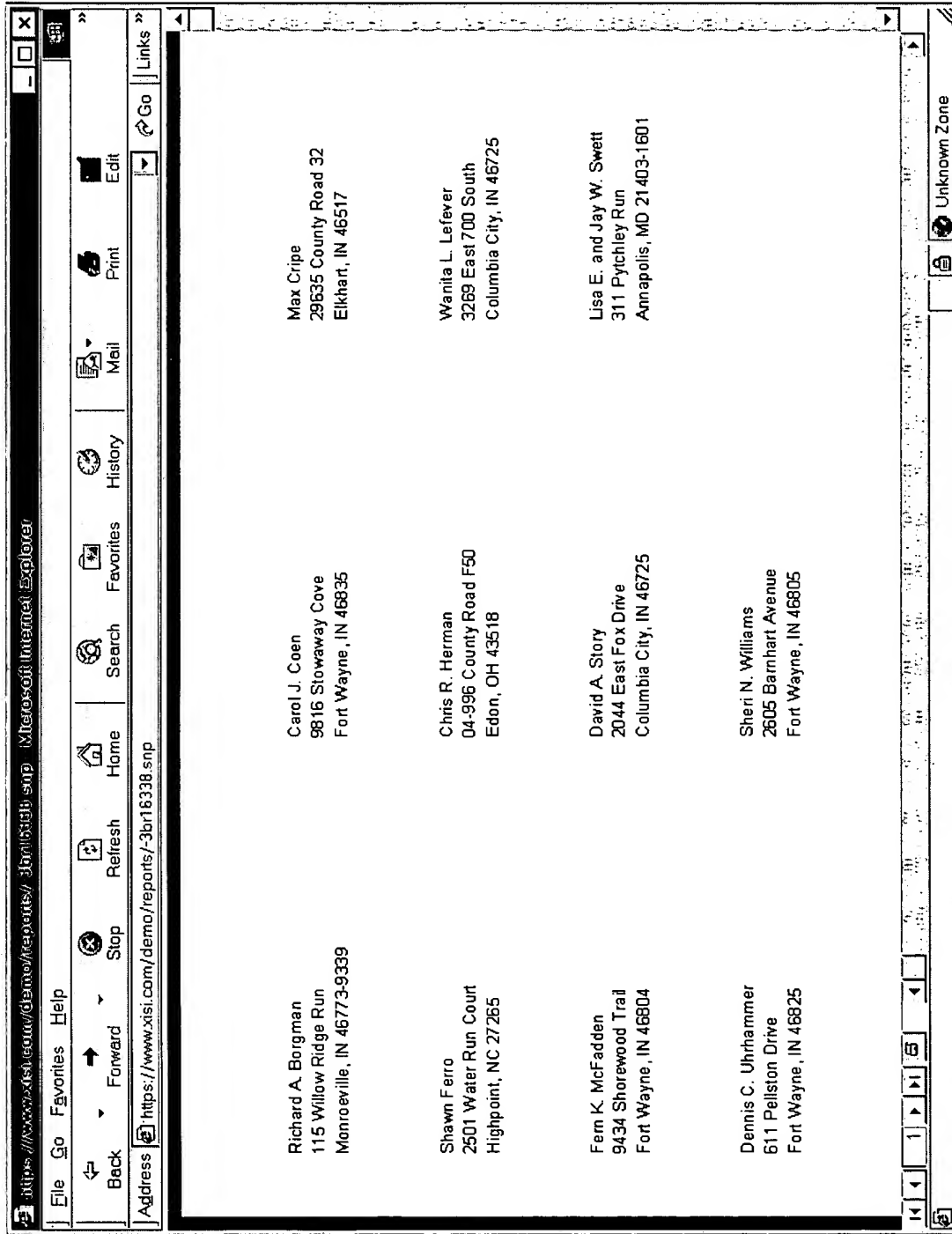


FIG. 12

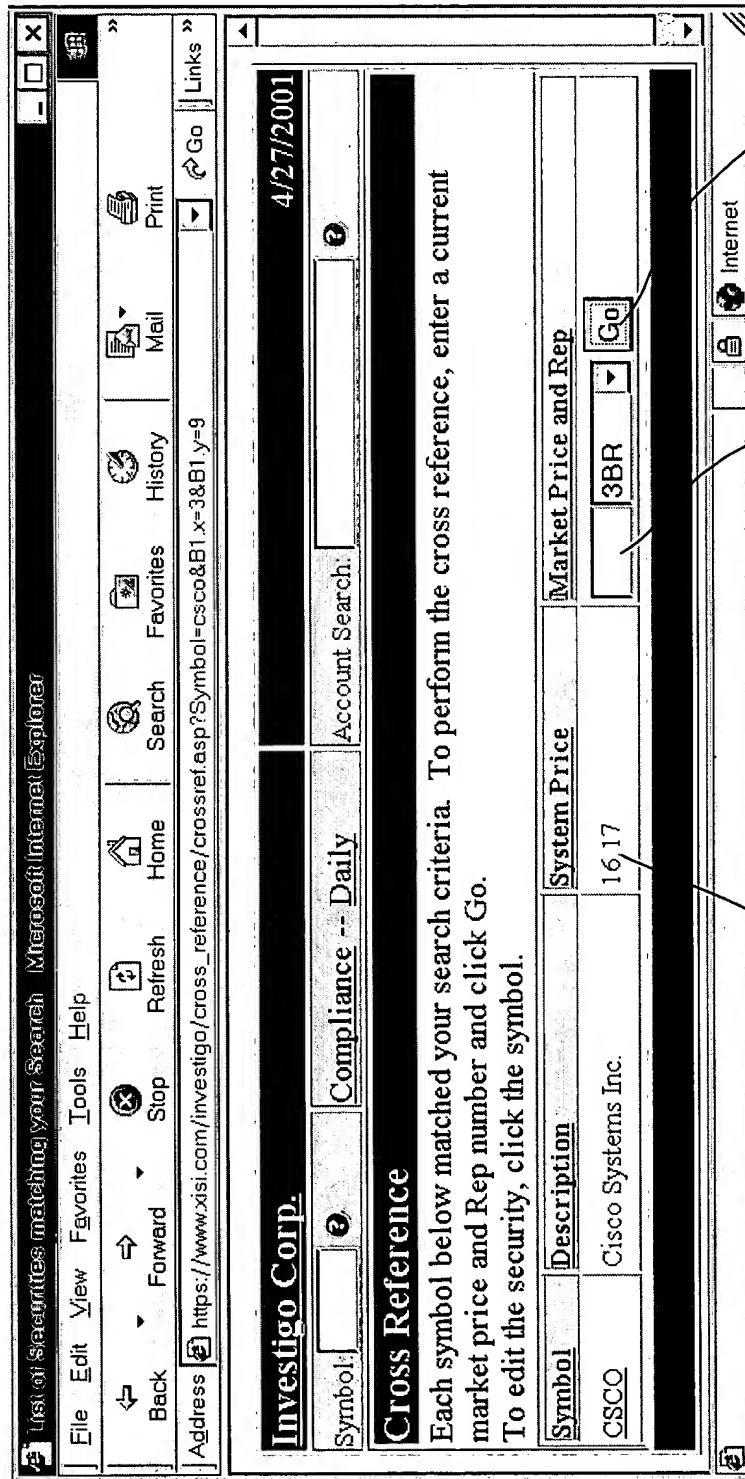


FIG. 13

162

160

164

FOI b6 b7C b7E

180

Open Positions Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xisi.com/investigo/cross_reference/crossrefperform.asp?NewPrice=&Broker=3BR&B1=Go&Symbol= Go Links

Investigo Corp. 4/27/2001

Symbol: Compliance -- Daily Account Search:

Cross Reference for Cisco Systems Inc.

List of Open Positions for CSCO, Currently Trading at 16.17 for Representative (3BR). To go to a specific account click on the Account Number. To sell a specific position, click on the Shares.

Cisco Systems Inc.-- (CSCO) at 16.17

Mail Merge

Account Number	Last Name	Symbol	Shares	Open Date	Avg. Price	Total Cost	P/L	Contact #'s
W632297834	Boval	CSCO	100	7/12/1999	33.8135	\$3,381.35	(\$1,764.35)	W:219-825-9457 H:219-825-5520
W632298345	Edwards	CSCO	195	3/24/2000	69.8983	\$13,630.16	(\$10,477.01)	W: H:219-635-2496
W636098170	Felber	CSCO	100	1/5/2000	50.6402	\$5,064.02	(\$3,447.02)	W: H:
W632297107	Kernen	CSCO	103	4/18/2000	68.1096	\$7,015.29	(\$5,349.78)	W:800-392-0844e272 H:770-967-4053
W632392841	Marques	CSCO	600	2/4/1999	29.6721	\$17,803.26	(\$8,101.26)	W:219-357-6557 H:219-357-5252
W632488060	Mason	CSCO	238	10/7/1999	47.0749	\$11,203.83	(\$7,355.37)	W:219-925-4939 H:219-837-6070
W632494886	McClain	CSCO	200	7/15/1999	33.3484	\$6,669.68	(\$3,435.68)	W:219-425-5792 H:219-497-0740
W632520656	Rienks	CSCO	110	7/21/1999	46.9189	\$5,161.08	(\$3,382.38)	W:270-251-1263 H:270-554-4701
W632645099	Silva	CSCO	20	3/23/2000	79.883	\$1,597.66	(\$1,274.26)	W:270-251-1109 H:270-554-5384

Done Internet

FIG. 14

FIG. 15

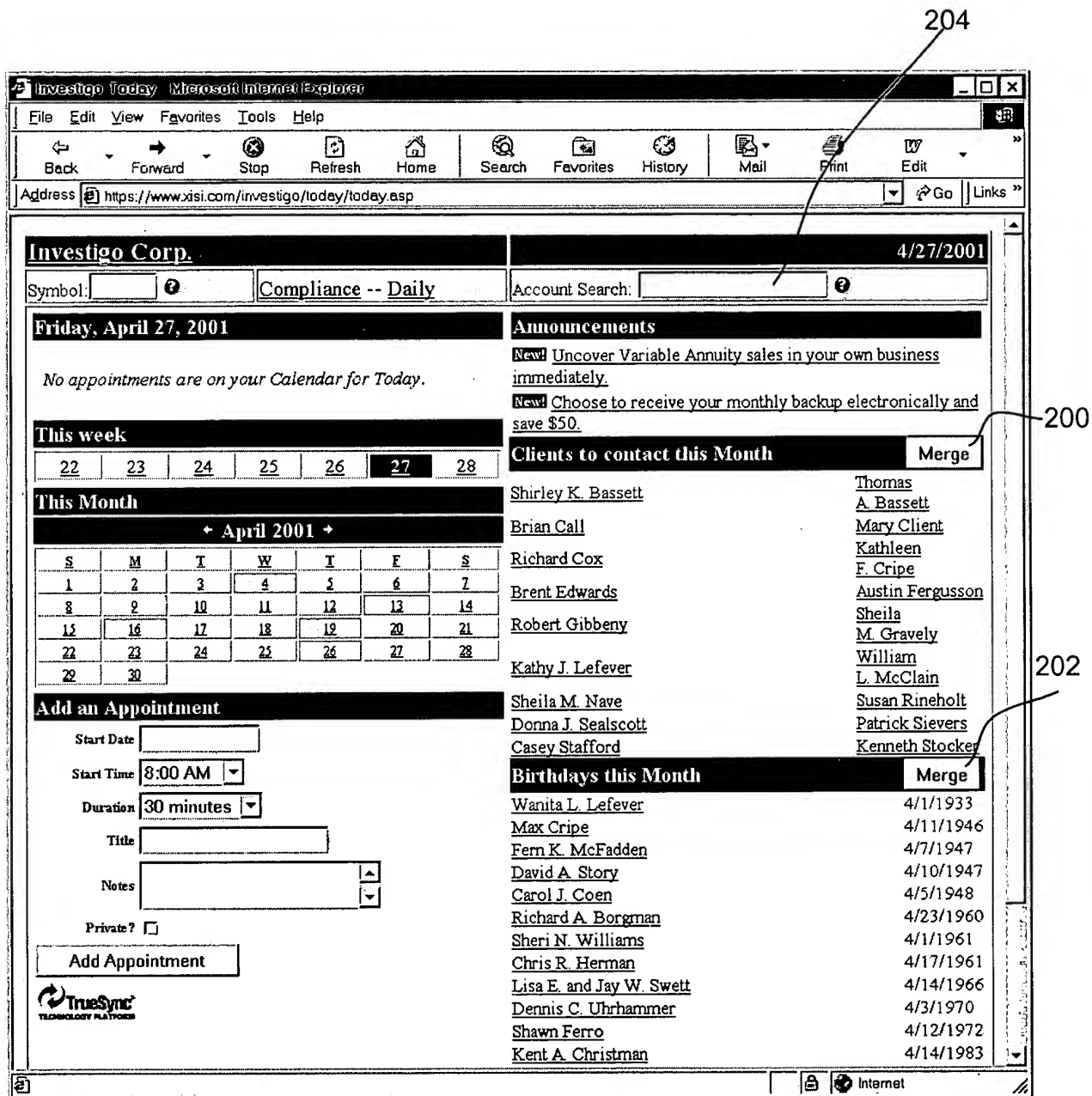
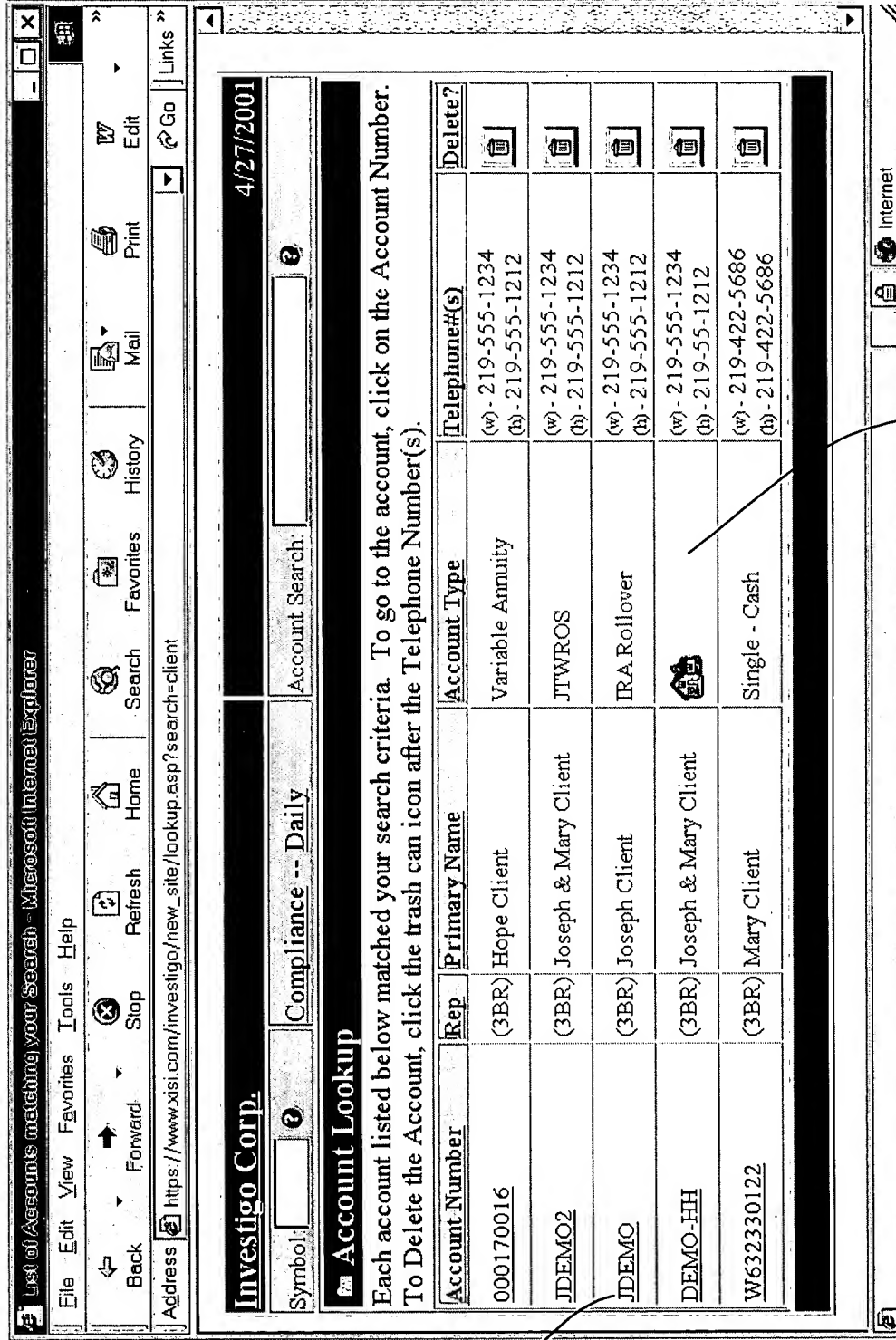


FIG. 15



212

210

FIG. 16

FIG. 17

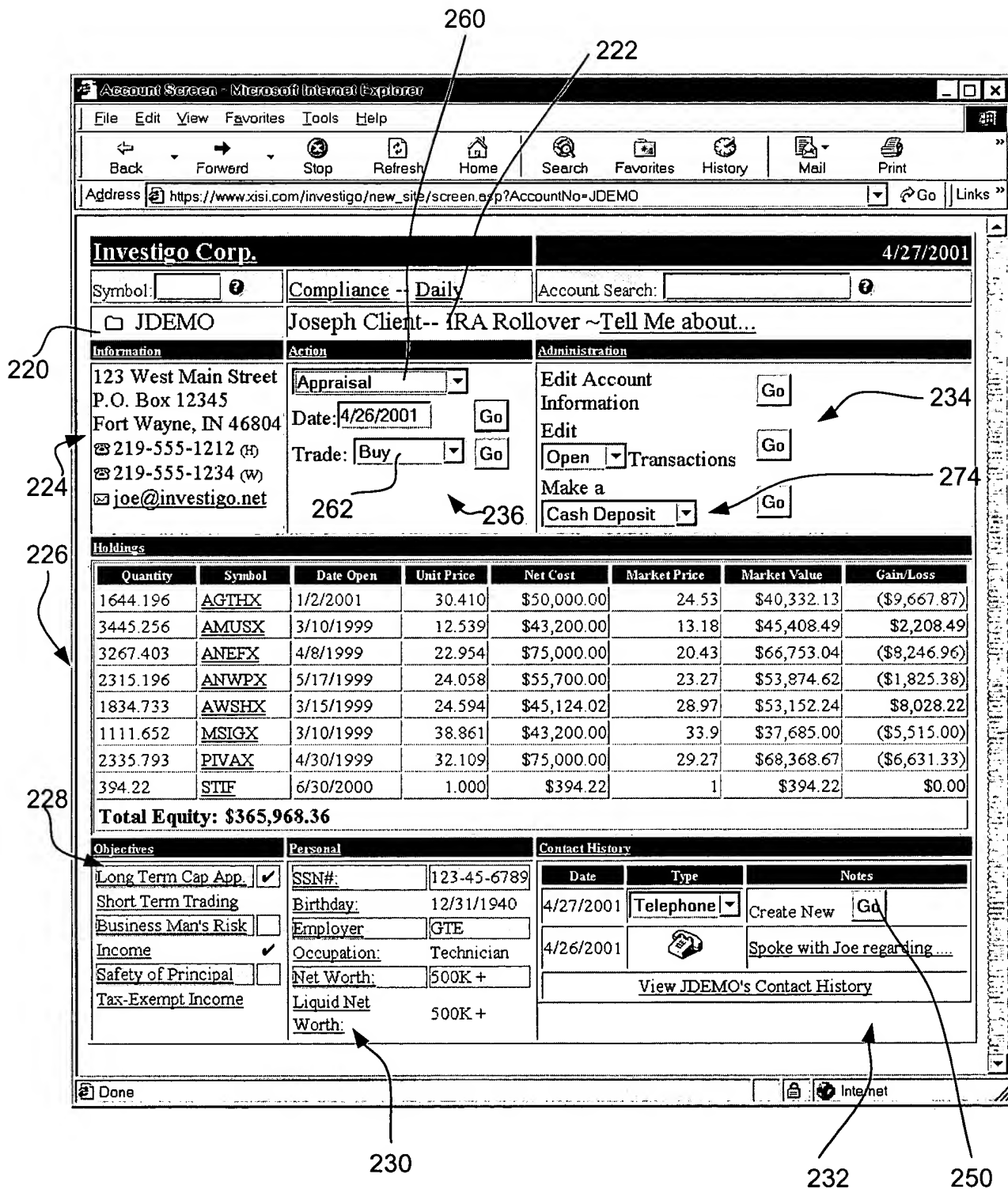


FIG. 17

FIG. 18

T00260" 02T2T660

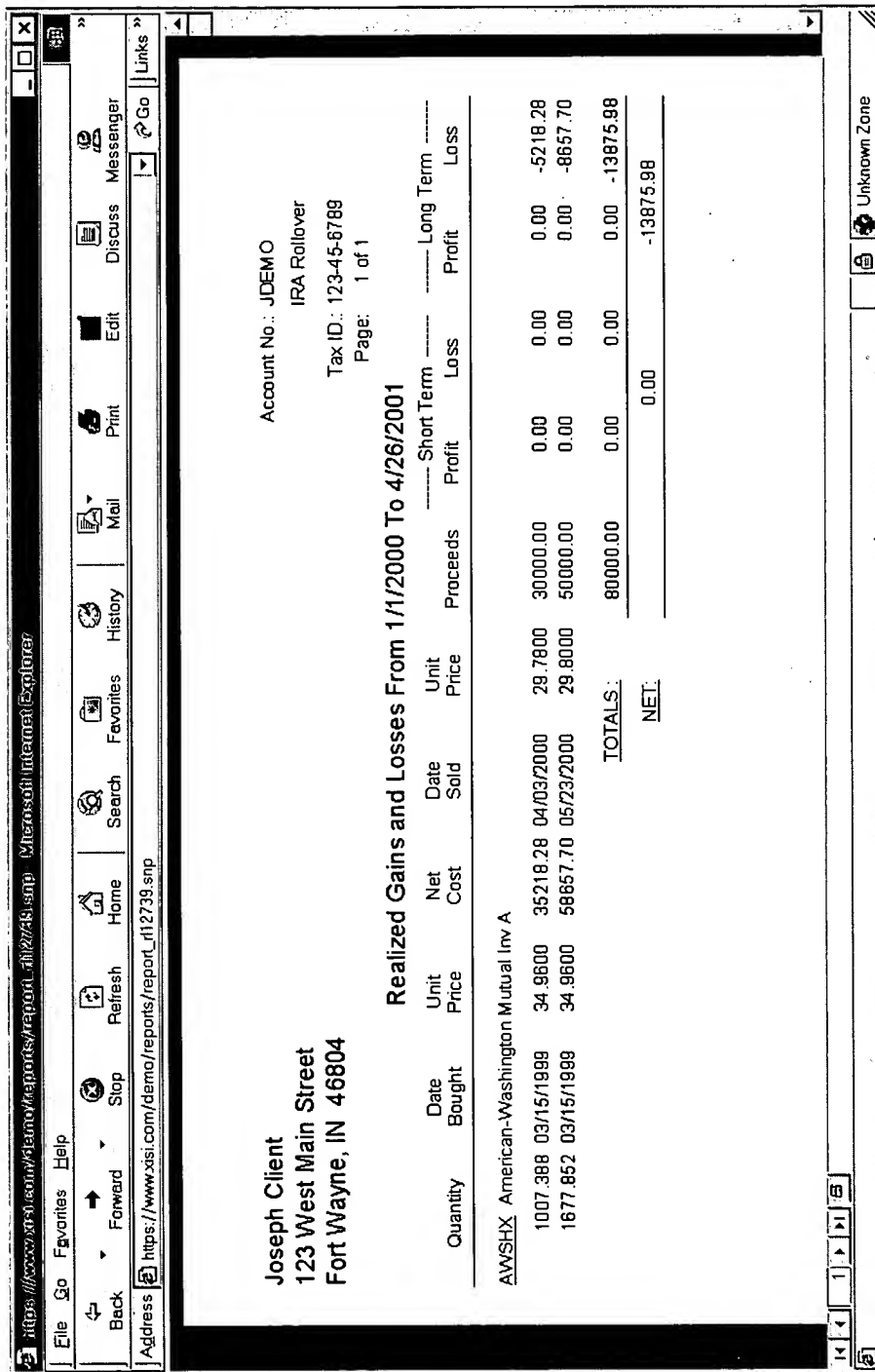


FIG. 19

FIG. 20

Trade Entry

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address <https://www.xist.com/investgo/posting/orderdesk.asp?Action=Buy&B1=Go&reportdate=4%2F27%2F2001> Go Links

Investigo Corp.

4/27/2001

Symbol:

Compliance: -- Daily Account Number or Name:

Trade Entry

JDEMO

Joseph Client-- IRA Rollover

Trade Date	4/27/2001	Trade Type	Buy
Amount	1000	Symbol or CUSIP	ibm
Price	33.00	Solicitation Status	Solicited
Commission	600	Location of Shares	Long
Fees and/or charges	65.00	Reinvest	None or N/A
Sales charge	0	- For Mutual Funds	
Cost or Proceeds Override		- Overrides automatic calculation	
Order Entered By	3br		

Notes

Recommended to client

Confirm This Trade

Done Internet

270

FIG. 21

268

Confirm file location - Microsoft Internet Explorer		File Edit View Favorites Tools Help		Back Forward Stop Refresh Home Search Favorites History Mail Print			
Address a lesCharge=0&Totals=&order_enterer=3br¬es=Recommended+to+client&Submit=Confirm+This+Trade		Go		Compliance -- Daily		Account Number or Name: [] Lookup	
Investigo Corp.							
JDEMO Joseph Client -- IRA Rollover							
Trade Entry							
<u>Trade Date</u>	4/27/2001	<u>Trade Type</u>	Buy				
<u>Amount</u>	1000	<u>Symbol or CUSIP</u>	INTERNATIONAL BUSINESS MACHINES COR (IBM)				
<u>Price</u>	33	<u>Solicitation Status</u>	Solicited				
<u>Commission</u>	\$600.00	<u>Location of Shares</u>	Long				
<u>Fees and/or charges</u>	\$65.00	<u>Reinvest</u>	None				
<u>Sales charge</u>	0						
<u>Total Fees</u>	\$665.00						
<u>Total Cost</u>	\$33,665.00						
<u>Order Entered By</u>	3br						
<u>Notes</u>	Recommended to client						
Execute this Buy Order /							

FIG. 22

Account Statement

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back

Forward

Stop

Refresh

Home

Search

Favorites

History

Mail

Print

Edit

Address

https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDEMO

Go

Links

Investigo Corp.

4/27/2001

Symbol: JDEMO

Compliance -- Daily

Account Search:

Joseph Client-- IRA Rollover ~Tell Me about...

Administration

Information

123 West Main Street

P.O. Box 12345

Fort Wayne, IN 46804

219-555-1212 (H)

219-555-1234 (W)

joe@investigo.net

Action

Appraisal

Date: 4/26/2001

Trade: Buy

Edit Account Information

Open Transactions

Make a Stock Deposit

Cash Deposit Withdrawal

Stock Deposit

Reinvest Option

Go

Go

Go

Holdings

Quantity	Symbol	Date Open	Unit Price	Ne	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	30.410	\$5	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	\$66,753.04	(\$8,246.96)
2315.196	ANWPX	5/17/1999	24.058	\$55,700.00	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	38.861	\$43,200.00	\$37,685.00	(\$5,515.00)
2335.793	PTVAX	4/30/1999	32.109	\$75,000.00	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	1.000	\$394.22	\$394.22	\$0.00

Done Internet

FIG. 23

FIG. 24

T:00260"02T2T660

Irrevocable Stock or Bond Power - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xisi.com/investiga/stock_power/stock_power_confirm.asp?account_no=JDEMO&e_date=4%2F27%2F Go Links

IRREVOCABLE STOCK OR BOND POWER

FOR VALUE RECEIVED, the undersigned does (do) hereby sell, assign, and transfer to

Joseph Client SSN#: 123-45-6789
123 West Main Street
Fort Wayne, IN 46804

15 shares of the Common stock of INTERNATIONAL BUSINESS MACHINES COR (ibm)

If Stock, (
Complete (represented by Certificate(s) No(s) 12232293 inclusive,
This (
Portion (Standing in the name of the undersigned on the books of said Company.

If Bonds, (_____ bonds of _____
Complete (
This (in the principal amount of \$ _____ No(s) _____ inclusive,
Portion (
(standing in the name of the undersigned on the books of said company.

The undersigned does (do) hereby irrevocably constitute and appoint _____ attorney to transfer the said stock or bond(s), as the case may be, on the books of said Company, with full power of substitution in the premises.

Dated: 4/27/2001

IMPORTANT-READ CAREFULLY
The signatures(s) to this Power must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular without alteration or enlargement or any change whatever. Signature guarantee should be made by a member of member organization of the New York

Joseph Client

SIGNATURE GUARANTEED

Done Internet

FIG. 25

Investigo Corp. 4/27/2001

Symbol: <input type="text"/>	Compliance -- Daily	Account Number or Name: <input type="text"/>	
-------------------------------------	-------------------------------	---	--

Specific Trades for ANEFX, American-New Economy Fund

Here are the Open trades for JDEMO. To edit the trade, click on the trade ID.

To Sell a Specific Position, Click on the Share Amount.

To delete a trade, click on the trash can icon.

To edit ANEFX's database entry, [click here.](#)

Trade ID	Buy Date	Symbol	Shares	Buy Price	Buy Cost	Delete?
<u>Q128295</u>	4/8/1999	ANEFX	2910.361	25.77	\$75,000.00	
<u>Q128262</u>	6/18/1999	ANEFX	4.498	25.88	\$0.00	
<u>Q128272</u>	12/14/1999	ANEFX	352.544	27.45	\$0.00	

FIG. 26

FOUO "02727660




Correspondence History - Microsoft Internet Explorer			
Investigo Corp.		4/27/2001	
Correspondence History for JDEMO			
<u>Date</u>	<u>Type</u>	<u>Enterer</u>	<u>Notes</u>
<u>4/26/2001</u>		Joe	Spoke with Joe regarding the account. He is satisfied so far. Check back next month.
<u>4/11/2001</u>		Joe	Met with Joe and discussed his account. Check back in 3 months.
<u>2/21/2001</u>		Joe	Sent him an appraisal and a realized g/l statement for

FIG. 27

